

# EIT RawMaterials

## Call for KAVA Regional Innovation Scheme (RIS) and Internationalisation projects

### Instructions and process description

October 2018

#### 1. Purpose and scope of this document

This document describes the process for preparation, submission, evaluation and selection of proposals in response to the 2019 call launched by the EIT RawMaterials for RIS (Regional Innovation Scheme) and Internationalization Projects (RIS/Int KAVA – KIC Added-Value Activity in EIT terminology).

It is a requirement to register your intention to submit a proposal and contact Co-Location Centre/Innovation Hub staff and the Thematic Officers/Senior Advisors before submitting the proposal. The Co-Location Centre/Innovation Hub staff can offer further advice.

All proposals in response to the present call must be framed as **projects** in the sense that:

- They must lead to specific deliverables and outputs over a defined time schedule;
- They will be financed by EIT RawMaterials (the KIC) only for a defined duration.

All KIC partners involved in the submission of a project proposal in response to this call should read the following documents carefully:

- The present document (call text);
- *RIS/Int Project proposal: Guidance and Template for complementary information*;
- FAQ (Frequently Asked Questions) that will be posted in the online proposal submission platform “Seedbook” (<https://seedbook.eitrawmaterials.eu>), also containing explanations of the terminology used in this document;
- The Strategic Agenda 2018-22 of EIT RawMaterials (FPA, Annex I);
- *EIT RawMaterials communication and dissemination guidance*;
- *Go-to-market strategy for upscaling projects – Process and guidance* (for Upscaling RIS proposals only);
- The *Lighthouse Appendix* that outlines the topics and criteria for application through the Lighthouse initiative.

## 2. Project call and selection process

### 2.1 General rules and guiding principles

The aim of EIT RawMaterials is to take the optimal pathways to reinforce and expand activities in regions of strategic importance, taking into account synergies with the various raw materials actions that the EU Commission has planned to implement with non-EU partners from 2015 onwards.

Partners are invited to put forward Internationalisation projects that are building on the results and experiences of the earlier projects.

Proposals should target one of the following four target regions:

1. EUNC: Neighbouring Countries of the EU (EU definition, including the European Free Trade Association)
2. RDVP: Resource-rich developing economies (e.g., DR Congo, Bolivia, Peru, Liberia)
3. RREM: Resource-rich emerging economies with strong activities in the RM sector (e.g., Brazil, Chile, South Africa, India, China)
4. TECH: Developed economies leading in the RM sector (e.g., Australia, Canada, USA, South Korea, Japan)

For the so called RIS<sup>1</sup> activities, EIT RawMaterials regards the RIS regions as areas where there are opportunities to make an impact in line with our objectives and the overall aim of increasing the innovation level of RIS countries. We are integrating RIS projects into the overall KIC portfolio structure, with the aim of them being fully part of our structure rather than a separate category.

Our strategy for delivering maximum impact in the RIS regions is:

1. Engage strong key partners from RIS Regions or those having focus on and commitment to RIS regions to enable outreach to the local stakeholders. Engage the local stakeholders for them to benefit from being involved in KIC activities.
2. Transfer the Knowledge Triangle Integration concept into RIS regions to contribute to increasing the innovation level and skills and capacity building.
3. Carry out core KIC activities in innovation/upscaling and education with partners and external stakeholders in RIS regions.
4. Grow KIC participation from non-partners (and potential partners) from RIS regions by securing a strong presence in the RIS countries (Hubs) and by targeted matchmaking & networking events.

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<sup>1</sup> See description of RIS; <http://eit.europa.eu/activities/outreac/eit-regional-innovation-scheme-ris>

EIT RawMaterials will outreach mostly to those EU regions where a smart specialisation strategy supports the raw materials agenda and/or where there is potential for raw materials related activities (and where smart specialisation strategies are not yet developed). EIT RawMaterials identified the following three priority outreach regions:

- The East & South-East Europe (ESEE) region is of particular interest due to its unique RM potential, especially for critical minerals (both geological resources and secondary RM) and its specific geopolitical situation. The ESEE region is also included in specific transnational programmes as part of the EU Cohesion Policy.
- Baltic countries as fast developing regions.
- The southern Mediterranean region

The type of RIS activities can be defined on a case-by-case basis, but should generally fit into one of the three Activity Areas of EIT RawMaterials, which are Matchmaking and Networking, Acceleration, and RM Academy. Projects may include for example mobility programmes for students and professors, study visits, scientific and technical valorisation of the results, technology transfer, skills and capacity building in RIS countries, support of local start-ups, joint communication and networking events. Please refer also to Strategic Agenda 2018-22 of EIT RawMaterials.

### **Expected budget and funding**

RIS projects are funded from a separate EIT budget that is estimated to be between 1.5 and 4 M EUR for 2020. The exact number of projects funded will depend on the quality of the received proposals from the KIC, and on the total available funding.

- **Internationalisation and RIS projects** are requested to reach a non-EIT/EIT funding ratio of 50:50. Non-EIT funding is the sum of partners' in-kind contributions to a project (i.e., KIC Complementary Activities - KCAs) and KAVA co-funding (see FAQ). EIT funding is the requested EIT budget for executing the proposed project. Co-funding and opportunities for revenue generation from joint service creation signalled by the project consortium will be evaluated positively.
- For Upscaling RIS proposals, designated as such by the consortium following consultation with KIC staff, the co-funding contributed by the consortium should be minimum 20% of the total funding. For other types of proposals, partners may request up to 100% funding for eligible KAVA costs. Any co-funding contributed by the project consortium will be evaluated positively.
- Additionally, or as **an alternative to co-funding**, consortia may proactively propose opportunities for revenue generation from joint service creation together with EIT RawMaterials arising from the individual KAVA. The KIC's staff will support the project consortia on this matter during the proposal writing phase by evaluating the feasibility of such revenue generation mechanisms.

- If the EIT funding requested for the project in total is more than 300,000 EUR, the financial sustainability and/or impact generated (e.g., number of trained graduates) by the proposed project after the funding period must be discussed with the KIC's staff prior to submitting the proposal, and thoroughly documented in the proposal itself.
- Specific tasks may be attributed to subcontractors, if the necessity is clearly justified and follows the general H2020 principles.
- RIS Task Partners may be included in the project proposals. Eligibility and selection criteria are outlined in the document *RIS/Int Project proposal: Guidance and Template for complementary information*.
- It is possible to add other partners to the consortium after the project selection, but without changes to the total KAVA budget allocated to the project.
- The project duration can be from a minimum of 1 year to a maximum of 4 years. Note, however, that the current Framework Partnership Agreement (FPA) with EIT expires at the end of 2022. Therefore, the extension of projects beyond 2022 will be conditional upon and subject to the conditions set in the new FPA.
- Proposals claiming to achieve any positive environmental impact, such as resource and energy savings, waste reduction, waste valorization, emissions reduction, etc., must include a Work Package on the assessment of the environmental impacts of the developed products or processes using LCA (Life Cycle Assessment) methodologies.
- For Internationalization proposals: please note that, as a rule, EIT funds cannot be used to support costs of International (non-RIS) partners. It is expected that such costs will be covered by the Partners' organizations or using other funding instruments available in their respective countries.

### Confidentiality

Access to the proposals will be given to EIT RawMaterials Management Team and to the evaluation panel conducting the evaluations. Everyone with access to the proposal texts will sign a non-disclosure and confidentiality agreement.

If a proposal is approved for funding, the full details of the approved project will be communicated to the EIT as part of the proposed Business Plan 2020, where it will be included in EIT's evaluation of the Business Plan.

The title, scope, summary, name of partners in the consortium, name of coordinator and overall budget of projects approved for funding will be shared within the EIT RawMaterials community, and therefore will be made publicly available (e.g., on the EIT RawMaterials' web site, in presentations at conferences etc.). Public dissemination of the project's main results and outcomes is a mandatory condition for funding and will be arranged jointly by the consortium and EIT RawMaterials staff taking into account the consortium's legitimate confidentiality requirements.

## 2.2. Proposal preparation, submission, evaluation and selection process

### 2.2.1 Proposal preparation

Matchmaking and brokerage events throughout the year allow partners to discuss project ideas and form potential consortia. It is mandatory for the Coordinator to inform her/his Innovation Hub Manager for each project proposal to be submitted. The Innovation Hub staff and the Thematic Officers/Senior Advisors provide guidance and support in order to:

- Set up a solid consortium and find missing partner(s) if required
- Advise and support the consortium with their project proposals to ensure they are in line with the evaluation criteria
- Check eligibility criteria

Frequently asked questions and further guidance and advice of general interest will be posted in in the FAQ section of the online proposal submission platform “Seedbook” (<https://seedbook.eitrawmaterials.eu>) throughout the proposal preparation period. Project Coordinators should check this section regularly to ensure that they are fully informed and updated on important matters such as eligibility and evaluation criteria, advice on the compilation of the proposal, costs and cost allocation.

### 2.2.2 Proposal submission

- **Coordinators must register their intention to submit a proposal no later than Friday 11 January 2019 at 13.00 CET** using the SeedBook online platform. The registration form will become available through Seedbook before the end of October 2018. Following registration, the proposal will be assigned to a Project Officer who will be the primary point of contact with the Project Coordinator throughout the submission process. Note that Project Coordinators will be able to access the online proposal submission template only after their project has been registered and assigned to a Project Officer.
- **Proposals must be submitted no later than Friday 15 February 2019 at 13.00 CET** using the SeedBook online platform. The attached *RIS/Int Project proposal: Guidance and Template for complementary Information* offers guidance for the content of the proposal.

### 2.2.3 Proposal evaluation and selection process

There are three types of criteria for evaluation and subsequent selection of proposals according to these guiding principles:

Eligibility criteria - mandatory requirements (proposals that do not meet such criteria will not be considered for further evaluation), as described in section 2.3 below;

Quality criteria - quality criteria against which the collected proposals will be scored and ranked by external evaluators, according to the evaluation grid presented in section 2.4 below;

Strategy criteria - strategy criteria against which the collected proposals will be scored and ranked by the EIT RawMaterials Management Team, according to the evaluation grid presented in section 2.5 below.

Eligible proposals will be selected based on the quality and strategy criteria ranking. Quality criteria (external evaluation) account for the 70% of the final score, while strategy criteria (EIT RawMaterials evaluation) account for 30%.

Proposals' quality will be evaluated by a panel of external experts appointed by the EIT RawMaterials Management Team.

- All members of the evaluation panel will sign non-disclosure and conflict of interest agreements.
- A minimum of three experts will be assigned to the evaluation of each proposal.
- In the first step, these assigned experts evaluate each proposal remotely using the criteria set out in the 2.4 Quality Criteria grid.
- Final evaluation of all proposals is conducted by the entire panel (with the exclusion of any member with a conflict of interest). The strengths and weaknesses of each proposal as perceived by the panel will be documented and communicated to the Project Coordinator once the evaluation process is completed.
- EIT staff and management will act as the secretaries of the panel and facilitate the discussion during evaluation panel meetings but will otherwise not take part in the evaluation process.

Proposals' strategy will be evaluated using the criteria set out in the 2.5 Strategy Criteria grid. The final selection of all proposals is conducted by the EIT RawMaterials Operational Management Team (OMT) using the same criteria. The strengths and weaknesses of each project will be documented and communicated to the Project Coordinator once the evaluation process is completed.

Based on the evaluation and the overall available funding, the EIT RawMaterials Management Team will propose a portfolio of projects to be funded. The Executive Board will approve the portfolio of projects to be submitted to the EIT for funding, for the Business Plan 2020.

Coordinators of projects that are selected for funding will be informed after approval by the Executive Board and receive also the feedback from the evaluation panels. The feedback may include a list of requested changes that must be made by the Project Coordinator before the project can be given the final approval.

Also following approval by the Executive Board, Coordinators of projects that were not selected for funding will be informed. They will receive evaluation feedback as soon as it is finalised.

## 2.3 Eligibility criteria

Eligibility will be checked according to the following criteria:

- The project consortium must consist of a minimum of 3 KIC Core or Associate Partners, coming from a minimum of 2 different Innovation Hubs and/or a minimum of 2 different countries

- The project consortium must include KIC partners from at least 2 sides of the knowledge triangle (education, research, industry/business - as defined in the Partner registration documentation)
- Non-members are eligible to apply only if they submit an EIT RawMaterials e.V. membership application by 1 July 2019. Failure to apply for EIT RawMaterials membership by 1 July 2019 will result in their removal (including the requested funding) from the proposal. This provision does not apply to non-members that meet eligibility and selection criteria for RIS Task Partners
- The project cannot have one partner (including its Linked Third Parties) as the Work Package leader in all Work Packages
- All proposals must include a 'Dissemination and Communication Plan' Work Package, following the communications guidelines included in the document '*EIT RawMaterials Communication and dissemination guidance*'

## 2.4 Quality criteria

Weight	Description of Criteria
7	<p>(bullet points refer to examples, but the list is not exhaustive)</p> <p><b>Innovation / impact creation capacity</b></p> <ul style="list-style-type: none"> <li>• Overall rationale for the project's importance and innovation capacity and / or creation of impact and increasing the innovativeness (especially for RIS proposals) compared with current practice</li> <li>• Economic importance of the targeted theme/market (market size, breadth of customers/applications)</li> <li>• Potential to deliver tangible results and products, processes or services that have not been delivered by other institutions</li> <li>• Clear dissemination strategy and application (to other countries, on-going initiatives and programmes, links to development in other materials, themes, markets, audiences, partners, etc.)</li> <li>• Creation of synergies with other actors in the local ecosystem to create an impact beyond the individual project itself</li> </ul>
7	<p><b>Quality of the project definition and scope</b></p> <ul style="list-style-type: none"> <li>• Explanation of the raw materials challenge addressed by this project and why the project will deliver robust solutions (background, current situation, issues and opportunities – specifically pertaining to EIT RawMaterials)</li> </ul>

	<ul style="list-style-type: none"> <li>• Detailed, step-by-step project work plan, broken down into design and implementation phases and defining work packages, management and milestones to show how the project delivers value to the project consortium and its key stakeholders (including stakeholders in the RIS regions for RIS proposals)</li> <li>• Definition of aims, objectives and deliverables and their relevance to EIT RawMaterials</li> <li>• Demonstration of the project’s added value in terms of promoting entrepreneurship and innovation (also from a pedagogical point of view)</li> <li>• Details of how the funds are to be used for in the form of a clear budget plan and timeline with justification</li> <li>• Identification of key risks and success factors supplemented with a mitigation strategy to overcome those risks</li> <li>• Quantitative demonstration of short-term and long-term impact of the project, especially illustrating how the project impact will contribute solutions to societal and industrial challenges</li> <li>• Effective and comprehensive communication and dissemination plan, building on the communication guidelines</li> </ul>
3	<p><b>Quality of the consortium</b></p> <ul style="list-style-type: none"> <li>• Relevance and demonstrated commitment of the lead partner</li> <li>• Relevant experience, expertise and resources, and demonstrated commitment and engagement of each of the partners</li> <li>• Diversity and complementarity of the partners, and clear definition and description of roles and responsibilities with justification of why these partners were selected</li> <li>• Appropriate level of cooperation and interaction within the consortium to support effective knowledge management</li> <li>• Active involvement of industrial partners where applicable</li> <li>• Clear definition and description of role and responsibility of the industrial partner within the project</li> <li>• Demonstrated commitment and engagement of the industry partner(s) with written evidence</li> <li>• Involvement of relevant external stakeholders from RIS countries (for RIS proposals) to contribute to the project objective and scope</li> </ul>



	<ul style="list-style-type: none"> <li>• Project governance structure and operational coordination mechanisms</li> </ul>
3	<b>Business Potential</b> <ul style="list-style-type: none"> <li>• Expected financial sustainability for the continuation of the program</li> <li>• Amount of Partner co-funding and/or revenue sharing relative to funding request and market value of the project</li> <li>• Soundness of the proposal from a customer demand perspective</li> </ul>
20	<b>TOTAL WEIGHT</b>

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 100 = 20 (total weight) \* 5 (maximum score for each criterion). These quantitative scores will be used as input for the consensus evaluation panel.

## 2.5 Strategy criteria

Weight	Description of criteria (bullet points refer to examples, but the list is not exhaustive)
7	<b>Strategic importance to the KIC</b> <ul style="list-style-type: none"> <li>• Overall rationale for the project's strategic importance to the KIC</li> <li>• Economic importance of the targeted theme/market (market size, breadth of customers/applications)</li> <li>• Contribution to de-siloing (countries, Innovation Hubs, disciplines, partner categories, value chain segments, activities)</li> <li>• Contribution to building and expanding the reach of the KIC community</li> <li>• Effective and comprehensive communication and dissemination plan</li> <li>• Clear dissemination strategy and application (to other countries, ongoing initiatives and programmes, links to development in other materials, themes, markets, audiences, partners, etc.)</li> <li>• Benefit to the partnership beyond the Consortium</li> <li>• Creation of synergies with other actors in the local ecosystem to create an impact beyond the individual project itself</li> <li>• Involvement of partners and external stakeholders from RIS and ESEE region countries</li> <li>• Leveraging effect on other KIC activities</li> </ul>

	<ul style="list-style-type: none"> <li>• Collaboration with other proposals, also from other KIC activities</li> <li>• Contribution to an overall EIT RawMaterials portfolio that is in line with its strategic objectives</li> <li>• Novelty relative to other projects submitted by the same consortium</li> <li>• Novelty relative to other projects in the portfolio</li> </ul>
7	<p><b>Expected impact (return on KAVA investment)</b></p> <ul style="list-style-type: none"> <li>• Realistic assessment of the expected contribution that the project will make to the impact of the KIC (see the Strategic Agenda 2018-22 of EIT RawMaterials) in relation to the requested budget</li> <li>• With specific reference to the activities, stakeholder interactions, deliverables and objectives, include a clear explanation of how this impact will be achieved</li> <li>• Project plan should include a description of expected stakeholders benefiting from the project along with a justification, and details of communication and dissemination plans to stakeholders</li> <li>• Other expected quantitative contribution to specific output KPIs and/or scoreboard numbers (see the Strategic Agenda 2018-22 of EIT RawMaterials)</li> <li>• Clear Description of financial and non-financial benefit provided to the KIC. Support to other KAVA activities, to KIC Customers, or other stakeholders (e.g. public authorities, NGOs, etc.).</li> </ul>
3	<p><b>KCA and other contributions from partners</b></p> <ul style="list-style-type: none"> <li>• Relevant KCA amount (€)</li> <li>• KAVA co-funding brought by partners</li> <li>• Balance in the level of resources committed by the different partners</li> <li>• Expected financial sustainability for the continuation of the program, if relevant</li> </ul>
3	<p><b>Quality of the proposal relative to requirements</b></p> <ul style="list-style-type: none"> <li>• Completeness and accuracy of information provided in the proposal</li> <li>• Compliance with EIT requirements</li> <li>• Alignment with feedback given by EIT RawMaterials on previous submissions (if applicable)</li> </ul>

**Total weight =20**

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The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 100 = 20 (total weight) \* 5 (maximum score for each criterion). These quantitative scores will be used as input for the consensus evaluation panel.

**Evaluation scale:** In relation to each of the criteria above, each project will be scored from 0 to 5 according to the following scale:

0	<b>Non-existent:</b> no relevant information provided in the application file or cannot be judged because out of range
1	<b>Very poor:</b> The criterion is addressed in a very incomplete and unsatisfactory manner
2	<b>Poor:</b> There are serious inherent weaknesses in relation to the criterion in question
3	<b>Fair:</b> While the proposal addresses the criterion, there are significant weaknesses that would need correction
4	<b>Good:</b> The proposal addresses the criterion well, although some improvements are possible
5	<b>Excellent:</b> The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor only.

## 2.6 Calendar

<b>15 October 2018</b>	Launch of call for RIS/Int projects
<b>Late October 2018</b>	The proposal registration and submission platform “Seedbook” ( <a href="https://seedbook.eitrawmaterials.eu">https://seedbook.eitrawmaterials.eu</a> ) goes online
<b>Friday 11 January 2019 at 13.00 CET</b>	Proposal registration deadline
<b>Friday 15 February 2019 at 13.00 CET</b>	Proposal submission deadline
<b>March 2019</b>	Evaluation by panel of external experts
<b>April 2019</b>	Preparation of list of projects for funding by KIC Management Team
<b>April 2019</b>	Approval of list of projects for funding by KIC Executive Board & communication to partners
<b>August 2019</b>	Inclusion of selected projects in Business Plan 2019, to be submitted to EIT
<b>1 January 2020</b>	Earliest starting date for approved projects
<b>1 July 2020</b>	Latest starting date for approved projects

The next call for projects is expected to be launched in late 2019, with a submission deadline in winter/spring 2020.

## 2.7. Registration and proposal submission using SeedBook

Registrations and proposals can **only** be submitted using the IT-tool SeedBook. Project Coordinators are invited to register via this link <https://seedbook.eitrawmaterials.eu> from late October 2018 to get the access to the tool, register their proposal and commence the proposal submission process. Innovation Hub staff will assist in using the IT tool.

The Registration must be submitted by **Friday 11 January 2019 at 13.00 CET**. Within a few days of registration, Project Coordinators will be given access to the online submission template in Seedbook. The proposals must be submitted by **Friday 15 February 2019 at 13.00 CET**.

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